

05909 U.S. PTO
033004

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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| | | |
|---|---|--|
| UTILITY PATENT APPLICATION TRANSMITTAL <small>(ONLY FOR NEW NONPROVISIONAL APPLICATIONS UNDER 37 CFR 1.53(B))</small> | Attorney Docket No. 46162-00008USPT | |
| | First Inventor Yaoming Zhang | |
| | Title DIRECTED REFLECTION LIGHT COLLECTING DEVICE WITH PLANAR REFLECTORS | |
| | Express Mail Label No. EV382165639US | |

| | |
|--|--|
| APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small> | ADDRESS TO: MS Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 |
|--|--|

| | |
|---|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(SUBMIT AN ORIGINAL, AND A DUPLICATE FOR FEE)</small> 2. <input checked="" type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small> 3. <input checked="" type="checkbox"/> Specification {Total Pages 29} <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) {Total Sheets 17} 5. Oath or Declaration {Total Sheets } a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 18 completed)</small> i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>SIGNED STATEMENT ATTACHED DELETING INVENTOR(S) NAMED IN THE PRIOR APPLICATION, SEE 37 CFR 1.63(D)(2) AND 1.33(B).</small> 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program <i>(Appendix)</i> 8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies ACCOMPANYING APPLICATION PARTS 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small> 11. <input checked="" type="checkbox"/> English Translation Document <i>(if applicable)</i> 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small> 15. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small> 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). <small>Applicant must attach form PTO/SB/35 or its equivalent.</small> 17. <input checked="" type="checkbox"/> Other: Check # 159407 in the amount of \$385.00 |
|---|---|

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information: Examiner _____ Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number: **24238** OR ☒ Correspondence address below

| | | | | | |
|---------|--|-----------|-----------------------|----------|-----------------------|
| Name | JENKENS & GILCHRIST, A PROFESSIONAL CORPORATION | | | | |
| | J. Benjamin Bai | | | | |
| Address | 5 Houston Center | | | | |
| | 1401 McKinney, Suite 2700 | | | | |
| City | Houston | State | TX | Zip Code | 77010 |
| Country | US | Telephone | (713) 951-3300 | Fax | (713) 951-3314 |

| | | | |
|-------------------|-------------------------|-----------------------------------|-----------------------|
| Name (Print/Type) | Daniel G. Nguyen | Registration No. (Attorney/Agent) | 42,933 |
| Signature | <i>Daniel Nguyen</i> | Date | March 30, 2004 |

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 382165639 US, in an envelope addressed to: MS Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: March 30, 2004 Signature: *Daniel Nguyen* (Daniel G. Nguyen)

HOUSTON 306668v1 46162-00008USPT

17513 U.S. PTO
10/813246

033004

05909 U.S. PTO
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PTO/SB/17 (10-03)

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003, Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 457.00

Complete if Known

| | |
|----------------------|-----------------------|
| Application Number | Not Yet Assigned |
| Filing Date | Concurrently Herewith |
| First Named Inventor | Yaoming Zhang |
| Examiner Name | Not Yet Assigned |
| Art Unit | N/A |
| Attorney Docket No. | 46162-00008USPT |

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ CREDIT CARD ☐ MONEY ORDER ☐ OTHER ☐ NONE

Deposit Account:

Deposit Account Number 10-0447

Deposit Account Name Jenkens & Gilchrist, a Professional Corporation

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|-------------------|--------------|-----------|-----------|------------------------|----------|
| | | Code (\$) | Code (\$) | | |
| 1001 | 2001 | 770 | 385 | Utility filing fee | 385.00 |
| 1002 | 2002 | 340 | 170 | Design filing fee | |
| 1003 | 2003 | 530 | 265 | Plant filing fee | |
| 1004 | 2004 | 770 | 385 | Reissue filing fee | |
| 1005 | 2005 | 160 | 80 | Provisional filing fee | |
| SUBTOTAL (1) (\$) | | | | | 385.00 |

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 28 | -20** = 8 | 9.00 | 72.00 |
| Independent Claims | 1 | -3** = 0 | |
| Multiple Dependent | | | |

| Large Entity | | Small Entity | | |
|--------------|----------|--------------|----------|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple dependent claim, if not paid |
| 1204 | 86 | 2204 | 43 | ** Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent |

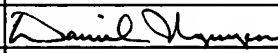
**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|-----------------------------------|--------------|----------|----------|--|----------|
| 1051 | 2051 | 130 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 2052 | 50 | 25 | Surcharge - late provisional filing fee or cover sheet. | |
| 1053 | 1053 | 130 | 130 | Non-English specification | |
| 1812 | 1812 | 2,520 | 2,520 | For filing a request for ex parte reexamination | |
| 1804 | 1804 | 920* | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1805 | 1,840* | 1,840* | REQUESTING PUBLICATION OF SIR AFTER | |
| 1251 | 2251 | 110 | 55 | Extension for reply within first month | |
| 1252 | 2252 | 420 | 210 | Extension for reply within second month | |
| 1253 | 2253 | 950 | 475 | Extension for reply within third month | |
| 1254 | 2254 | 1,480 | 740 | Extension for reply within fourth month | |
| 1255 | 2255 | 2,010 | 1,005 | Extension for reply within fifth month | |
| 1401 | 2401 | 330 | 165 | Notice of Appeal | |
| 1402 | 2402 | 330 | 165 | Filing a brief in support of an appeal | |
| 1403 | 2403 | 290 | 145 | Request for oral hearing | |
| 1451 | 1451 | 1,510 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 2452 | 110 | 55 | Petition to revive - unavoidable | |
| 1453 | 2453 | 1,330 | 665 | Petition to revive - unintentional | |
| 1501 | 2501 | 1,330 | 665 | Utility issue fee (or reissue) | |
| 1502 | 2502 | 480 | 240 | Design issue fee | |
| 1503 | 2503 | 640 | 320 | Plant issue fee | |
| 1460 | 1460 | 130 | 130 | Petitions to the Commissioner | |
| 1807 | 1807 | 50 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 1806 | 180 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 8021 | 40 | 40 | Recording each patent assignment per property (times number of properties) | |
| 1809 | 2809 | 770 | 385 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1810 | 2810 | 770 | 385 | For each additional invention to be examined (37CFR 1.129(b)) | |
| 1801 | 2801 | 770 | 385 | Request for Continued Examination (RCE) | |
| 1802 | 1802 | 900 | 900 | Request for expedited examination of a design application | |
| Other fee (specify) | | | | | |
| *Reduced by Basic Filing Fee Paid | | | | | |
| SUBTOTAL (3) (\$) | | | | | 0.00 |

SUBMITTED BY

| | | | | | |
|-------------------|---|-----------------------------------|----------------|-----------|----------------|
| Name (Print/Type) | Daniel G. Nguyen | Registration No. (Attorney/Agent) | 42,933 | Telephone | (713) 951-3354 |
| Signature |  | Date | March 30, 2004 | | |

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Dated: March 30, 2004

Signature:  (Daniel G. Nguyen)

HOUSTON 306673v1 46162-00008USPT

Certificate of Express Mailing Under 37 CFR 1.10

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Alexandria, VA 22313-1450

on March 30, 2004
Date



Signature

Daniel G. Nguyen

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Application
Drawings
IDS (Citation) by Applicant
Information Disclosure Statement
One Reference
Utility Transmittal
Fee Transmittal
Application Data Sheet
Certified Copy of Priority Document
English Translation
Postcard

CERTIFICATE

THE ATTACHMENT OF THE CERTIFICATE IS THE COPY OF THE
FOLLOWING PATENT APPLICATION FILED TO THE SIPO

Application Date: August 21, 2003

Application Number: 03152803.1

Application Sort: Invention

Title of Invention: Directed Reflection Light Collecting Device with
Planar Reflectors

Applicant: ZHANG, Yaoming, ZHANG, Zhenyuan, ZHANG, Wenjin

Inventor: ZHANG, Yaoming, ZHANG, Wenjin, SUN, Liguu, ZHANG,
Zhenyuan, LIU, Xiaohui, SHEN, Zhaohong, XU, Mingquan,
CHEN, Qiang

Commissioner of The Chinese State Intellectual Property Office

WANG, Jingchuan

March 18, 2004